

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Leslie Cheong, et al.

Group No.: Not Yet Assigned

Serial No.: 09/579,787

Examiner: Not Yet Assigned

Filed: May 26, 2000

For: Method and Apparatus for Surrogate Control of Network-Based Electronic Transactions

Commissioner for Patents  
Washington, D.C. 20231COMPLETION OF FILING REQUIREMENTS  
—NONPROVISIONAL APPLICATION

I. This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed August 8, 2000. A copy of the Notice to File Missing Parts of Application—Filing Date Granted (Form PTO-1533) is enclosed.

## DECLARATION OR OATH

No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

## POWER OF ATTORNEY

III. Power of Attorney is not needed for this matter.

## SMALL ENTITY STATUS

IV. A Small Entity Declaration is not needed for this matter.

## COMPLETION FEES

V.	1. Filing Fee: Original patent application (37 C.F.R. 1.16(a))	\$690.00
	1. Fee for Claims: Each claim in excess of 20 (37 C.F.R. 1.16(c))	\$648.00
	2. Fee for Claims: Each independent claim in excess of 3 (37 C.F.R. 1.16(b))	\$156.00
	3. Surcharge Fee: Late payment of filing fee (37 C.F.R. 1.16(e))	\$130.00
	4. Assignment (See "ASSIGNMENT COVER SHEET")	\$40.00
	Total completion fees	\$1664.00

## EXTENSION OF TIME

VI. An Extension of Time is not needed at this time.

Fee Due: \$0.00

## REQUEST FOR CORRECTED FILING RECEIPT

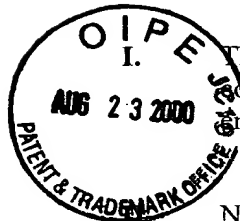
VII. Request for Corrected Filing Receipt is not needed at this time.

## TOTAL FEE DUE

VIII. The total fee due is: Completion fees \$1664.00 Extension of Time Fees \$0.00 Corrected Filing Receipt Fees \$0.00

TOTAL FEE DUE \$1664.00

## PAYMENT OF FEES

IX. Charge Account No. 23-2415(22698-702) in the amount of \$1664.00.  
Please charge Account No. 23-2415 (22698-702) for any fees that may be due by this paper.  
Richard L. Gregory, Jr., Reg. No. 42,607Wilson Sonsini Goodrich & Rosati  
650 Page Mill Road  
Palo Alto, CA 94304  
(650) 493-9300



PTO/SB/17 (6/99)

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL  
for FY 2000**

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

**TOTAL AMOUNT OF PAYMENT** (\$ ) 1664.00**Complete if Known**

Application Number	09/579,787
Filing Date	May 26, 2000
First Named Inventor	Leslie Cheong
Examiner Name	Not Yet Assigned
Group/Art Unit	Not Yet Assigned
Attorney Docket Number	22698-702

**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 23-2415 (Docket No. 22698-702)

Deposit Account Name Wilson Sonsini Goodrich &amp; Rosati

- ☐
- Charge Any Additional Fee Required
- 
- Under 37 CFR §§ 1.16 and 1.17

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	690.00
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	690	208	345	Reissue filing fee	
114	150	214	75	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>(\$ ) 690.000</b>

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
56	-20** = 36	x 18.00 =	648.00
Independent Claims	5	-3** = 2	x 78.00 = 156.00
Multiple Dependent			

\*\*or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$ ) 804.00**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920	112	920	Requesting publication of SIR prior to Examiner action	
113	1,840	113	1,840	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for replay within first month	
116	380	216	190	Extension for reply within second month	
117	870	217	435	Extension for reply within third month	
118	1,360	218	680	Extension for reply within fourth month	
128	1,850	228	925	Extension for reply within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,210	241	605	Petition to revive - unintentional	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	690	246	345	Filing a submission after final rejection (37 CFR 1.129(a))	
149	690	249	345	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)		25		Request for Corrected Filing Receipt	
Other fee (specify)	55/110			Terminal Disclaimer	

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) 170.00**SUBMITTED BY**

Name (Print/Type)	Richard L. Gregory	Registration No. (Attorney/Agent)	42,607	Telephone	650-493-9300
Signature		Date	8-23-00		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

## FORMALITIES LETTER



\*OC00000005304694\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/579,787	05/26/2000	Leslie Cheong	22698-702

21971  
WILSON SONSINI GOODRICH & ROSATI  
650 PAGE MILL ROAD  
PALO ALTO, CA 943041050



Date Mailed: 08/08/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

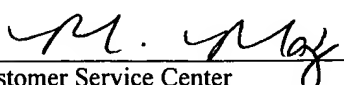
*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$804.
  - \$648 for 36 total claims over 20.
  - \$156 for 2 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1624.**

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*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

08/28/2000 VYANG1 00000057 232415 09579787

01 FC:101	690.00 CH
02 FC:103	648.00 CH
03 FC:102	156.00 CH
04 FC:105	130.00 CH